

ABSTRACT:

A system for automated transaction compliance processing comprises a list server providing access to one or more lists of securities with trading restrictions and a rules engine which processes compliance requests to determine if, based upon the relationship between the requesting party and the company on behalf the compliance is being performed, the transaction is permissible. Compliance determinations are made using a set of predefined compliance rules. When a request is evaluated, a compliance rule set indicating which rules are to be evaluated at that time is generated in accordance with a party profile indicating the relationship between the party and the company. A message indicating whether or not the transaction complies with trading restrictions is then returned. The system can be stand-alone or integrated with an electronic trading system. The compliance processor can also be used to analyze reports to ensure that the report contents comply with confidentiality requirements prior to public release of the report.

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